

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Albert B. Deisseroth & Lixin Zhang, Page 1 of 2Application No./Patent No.: 10/534,605Filed/Issue Date: February 12, 2007

Titled:

Adenoviral Vector Vaccine

VAXum, LLC

, a Limited Liability Company

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)
the patent application/patent identified above, by virtue of either:
- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Lixin ZhangTo: Albert B. Deisseroth

The document was recorded in the United States Patent and Trademark Office at

Reel 017017, Frame 0325, or for which a copy thereof is attached.2. From: Albert B. DeisserothTo: Yale University

The document was recorded in the United States Patent and Trademark Office at

Reel 017100, Frame 0596, or for which a copy thereof is attached.3. From: Yale UniversityTo: Albert B. Deisseroth & Lixin Zhang

The document was recorded in the United States Patent and Trademark Office at

Reel 024158, Frame 0698, or for which a copy thereof is attached.

- ☒ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.06]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Date

Jacob Frank

Attorney

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Albert B. Deisseroth & Lixin Zhang, Page 2 of 2

Application No./Patent No.: 10/534,605 Filed/Issue Date: February 12, 2007

Titled: Adenoviral Vector Vaccine

VAXum, LLC, a Limited Liability Company

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

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OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Albert B. Deisseroth & Lixin Zhang To: VAXum, LLC

The document was recorded in the United States Patent and Trademark Office at
Reel see copy, Frame attached, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Jacob Frank
Signature

Jacob Frank

Printed or Typed Name

13 August 2010
Date

Attorney

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

ASSIGNMENT

WHEREAS we, Albert B. Deisseroth and Lixin Zhang, have made a certain new and useful invention as set forth in an application for United States Letters Patent, entitled Adenoviral Vector Vaccine, for which an application was filed and which is a pending application for United States Letters Patent Serial No. 10/534,605:

AND WHEREAS, all rights to said application and all corresponding foreign filed applications were previously conveyed by said inventors to Yale University, and as evidenced by the attached agreement of release, Exhibit A, all rights to said application and corresponding foreign filed cases were transferred back to said inventors in March, 2010, subject to a certain non-exclusive right retained by Yale for Yale's own research and for educational purposes, and/or for academic research or other non-for-profit scholarly purposes which are undertaken at any academic non-for-profit, or government institution, and does not use the invention in the production or manufacture of products for sale or the performance of services for a fee;

AND WHEREAS, VAXum, LLC, a Virginia limited liability company, is desirous of acquiring the inventors' entire right, title and interest in and to said invention including said application and all corresponding foreign filed applications, any previously or subsequently filed provisional applications, any subsequently filed non-provisional applications and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefore, from said Albert B. Deisseroth and Lixin Zhang, however subject to the Yale non-exclusive license;

NOW, THEREFORE, for one dollar and other good and valuable consideration, the receipt for and sufficiency of which is hereby acknowledged, we do hereby sell, assign, transfer and set over unto VAXum, its legal representatives, successors, and assigns, effective the date set forth below, their entire right, title and interest in and to said invention including said application and all corresponding foreign filed applications, any previously or subsequently filed provisional applications, any continuations, continuations-in-part, divisions, reissues, re-examinations or extensions thereof, and in and to any and all patents of the United States and foreign countries issued and which may be issued for said invention (Patent Rights), however subject to said Yale non-exclusive license;

UPON SAID CONSIDERATIONS, We hereby agree with the said assignee that we will not execute any writing or do any act whatsoever conflicting with these presents, and that we will, at any time upon request, without further or additional consideration but at the expense of said assignee, execute such additional assignments and other writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, continuations, continuations-in-part, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of the assigns and legal representatives of assignor and assignee;

AND we request the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said VAXum, LLC, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

Albert B. Deisseroth & Lixin Zhang
Inventor Names

Date: 7/24/10

Inventor Albert B. Deisseroth


Inventor Signature

Lixin Zhang


Inventor Signature

Attachment: Exhibit A